



**PATENTS**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 10/635,797  
Applicant : Rapin, et al.  
Filed : August 5, 2003  
TC/A.A.U. : 1654  
Examiner : Marcela M. Cordero Garcia  
Title : Tripeptides and Tripeptide Derivatives for the Treatment of  
Neurodegenerative Diseases

Docket No. : 10945.105002 (Neuro 101)  
Customer No. : 20786

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Sir:

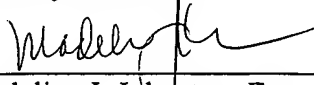
Applicant, through his attorneys and agents, submits the following for filing in connection with the referenced application:

1. Prosecution by Assignee and Power of Attorney Under 37 C.F.R. § 3.71;
2. Statement Under 37 CFR 3.73(b);
3. Certificate of Mailing; and,
4. Postcard.

No fees are believed to be due in connection with this submission. However, the Commissioner is authorized to charge any additional fees, should they be due, and to credit any overpayment to Deposit Account No. 11-0980.

Date: April 4, 2006  
KING & SPALDING LLP  
191 Peachtree Street, 45<sup>th</sup> Floor  
Atlanta, GA 30303-1763

Respectfully submitted,

By:   
Madeline I. Johnston, Esq.  
Registration No. 36,174



PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln.No. : 10/635,797 Confirmation No. 2719  
Applicant : Rapin *et al.*  
Filed : August 5, 2003  
TC/A.U. : 1654  
Examiner : Marcela M. Cordero Garcia  
Title : Tripeptides and Tripeptide Derivatives for the Treatment of  
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PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY  
UNDER 37 C.F.R. § 3.71

Sir:

NEUROTELL AG, the assignee of the entire right, title and interest in this patent application, under 37 C.F.R. § 3.71 hereby appoints the practitioners associated with Customer Number **20786** to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please direct all written communications relative to this application to:

Madeline I. Johnston, Esq.  
King & Spalding LLP  
1180 Peachtree Street  
34<sup>th</sup> Floor  
Atlanta, GA 30309-3521

Please direct all telephone calls to Madeline I. Johnston, Esq. at (404) 572-4720.

NEUROTELL AG

Date: 03-16-06

Signature: 

Name: BERGMANN, THOMAS

Title: COO

Address: NeuroTell AG  
c/o Wicki Unternehmensberatung  
Seestrasse 91  
CH-6052 Hergiswil



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Jean Rapin, Hans Klaus Witzmann, Jean-Marie Grumel and Jacques Gonella

Application No./Patent No./Control No.: 10/635,797 Filed/Issue Date: August 5, 2003

Entitled: TRIPLEPTIDES AND TRIPLEPTIDE DERIVATIVES FOR THE TREATMENT OF NEURODEGENERATIVE DISEASES

NEUROTCELL AG, a Corporation  
(Name of Assignee) (Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

- 1. ☒ the assignee of the entire right, title, and interest; or
- 2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014803, Frame 0777, or a true copy of the original assignment is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

- 1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
- 2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
- 3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

*[Signature]*  
Signature  
BERGTHANN, THOMAS  
Printed or Typed Name  
COO  
Title

03-16-06  
Date  
+41 61 465 92 92  
Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.



Certificate of Mailing Under 37 CFR 1.8

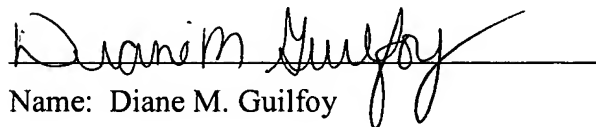
I hereby certify that this Transmittal Letter, Prosecution by Assignee and Power of Attorney and Statement Under 37 CFR 3.73(b), Certificate of Mailing, and Postcard are being deposited with the United States Postal Service "First Class Mail to Addressee" service under 37 CFR 1.8 on the date indicated below and is addressed to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on April 4, 2006

Appl. No.: 10/635,797

Docket No.: 10945.105002 (Neuro 101)

  
Name: Diane M. Guilfoyle